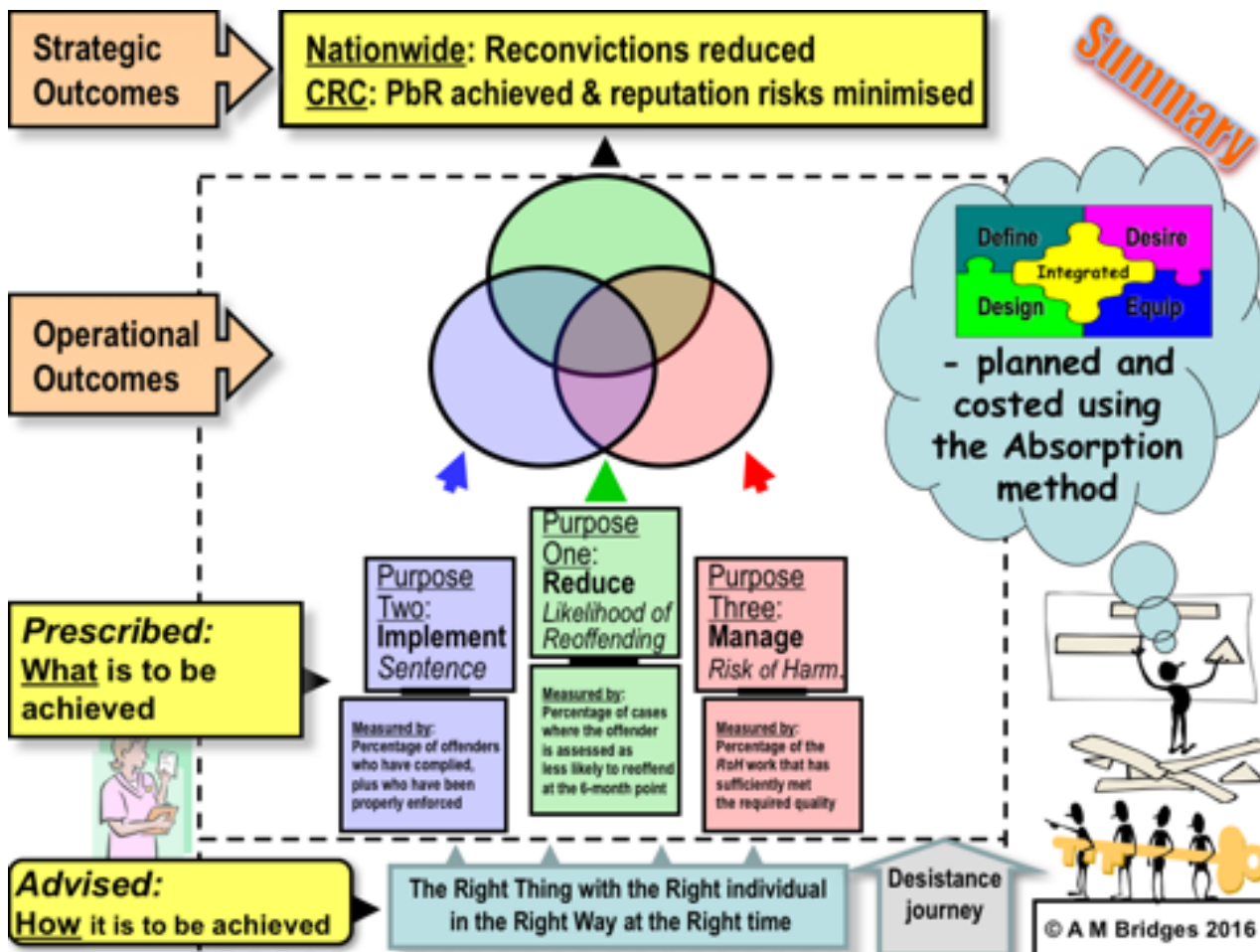


How to make Probation work: from Prescription to Recipe

This paper follows up my previous immodest “prescription” for Making Probation work with some more detail about how to make that happen in practice. Some might say that this is about ‘operationalising the plan’ – correct - but I choose to call this a “recipe” – albeit a recipe with one of the key practical ingredients included in the package. For the focus in this paper is about using the attached Case Assessment Tool to achieve the Three Purposes through good quality Probation practice– the resource deployment aspect I’ll aim to cover further elsewhere.

The key ideas in the graphic below come from the Summary in the Prescription paper, so if you need an explanation of those ideas please look in there. They provide the context and starting-point for this paper.



In that earlier paper I have amongst other points emphasised that Define, Design, Desire and Equip all have to be integrated, both in overall strategy and in detail, into a unified approach in order to be successful. I have also defined in that paper (though not in the presentation) more detail about how they can be measured.

I now illustrate how careful deployment of the attached Case Assessment Tool would enable this all to be delivered in practice in either a CRC or a region of the NPS – the principles are equally applicable in both settings, even though the emphasis might vary.

What is the Case Assessment Tool?

It is a document, preferably electronic, whereby someone can read a case record and be able to log a series of judgements about what progress has been achieved with that case. Its core, but not sole, use should be for practitioners to **see for themselves** how they are doing, and thereby consider how to learn and improve.

However, when introducing it to an organisation for the first time, I would advocate being upfront that one of its uses would in due course be to collate aggregated information about the overall performance of the organisation as a whole – but NB it would NOT be used as a ‘simple measure’ concerning the performance of individual practitioners (“since we know that every individual case is different”). Many will want to damn it at the start as “new paperwork to feed managers”, and there is no point pretending to avoid the element of that that is true.

But while not concealing that element, it is still possible to introduce the Tool as a means of self-assessment for practitioners, and one which relies on their judgement as to whether or not they have been successful. I would introduce it over time by having groups of 8-10 practitioners to two-day sessions to grasp the key principles of exercising judgements and recording them on the Tool. It will quickly be apparent that the “case reader” using the Tool could be the practitioner for that case in person, or it could be a third party – colleague, manager or inspector.

Yes, the Case Assessment Tool is indeed one that has evolved from Inspectorate practice in the recent past. Many recognised at the time that it was transparent and enabling, and “promoted improvement”, as well as offering a measurement of quality of practice, but we also knew its limitations. This new Tool is more focused and selective, and is designed to be used as an integral part of an organisation’s internal workings.

Benefits of the Tool:

- Referring back to the front graphic, it Prescribes **What** is to be achieved with each case, and does *not* prescribe **How** it is to be achieved, a point on which I could say much more elsewhere.
- It promotes the overall idea of achieving the Three Purposes of supervision by doing the Right Thing with the Right Individual in the Right Way at the Right time, because at every stage it requires the case reader to make a judgement about what was needed (and was feasible) in order to achieve those Three Purposes with that specific case.
- It Defines what is to be achieved, it provides a Design for recording and measuring progress towards achieving it, Equips practitioners and managers with the tool for doing that at the same time (avoiding duplication), and with most staff is likely to promote Desire to achieve the Three Purposes because it is both clear and practical, and entirely in keeping with the idea of each individual under supervision undergoing a ‘Desistance Journey’.
- The practitioner can see for her or himself how far each of their individual cases is contributing towards what the organisation is trying to achieve, while the aggregated Outcomes information enables the organisation to demonstrate in measurable terms what is being achieved with the caseload as a whole.
- The Tool can be applied either at the six-month point, or at end of supervision, or both, or at any point(s) chosen by the organisation.
- Over time, it will ‘grow’ an ethos at every level in the organisation, of what everyone is trying to achieve with all the cases, and how far it is succeeding.

Dangers:

These benefits won’t be delivered if:

- It is badly introduced or misleadingly ‘sold’ to staff, or the training is poor.

- Anyone is allowed to dilute the clarity of the Outcomes section
- Anyone, intentionally or otherwise, tries to convert it into a Procedures Manual or book of Rules – working groups of practitioners often do this with the best of intentions, but they don't achieve the desired benefit in reality.
- Similarly, if anyone tries to use it as a simple tool for comparing 'measured performance' of individuals or even teams. (But such segmented information can be useful, for learning or development, or related purposes other than simple performance assessment.)
- It is extended with too many additional required outcomes. I reluctantly accept that the additional Service Level targets imposed in NOMS contracts may need to be added, but other considerations such as health & safety, ethics and diversity should be managed and if necessary enforced by other means.

The Case Assessment Tool – content and usage:

The Tool has three themes, each with its own colour, that each directly reflect each of the Three Purposes of Probation – this makes it easy to keep track of which Purpose any specific question belongs to.

However, each theme is divided into three 'chronological' sections, since experience has shown that this is what makes reading and 'marking' a case record the most straight forward, with the minimum of going backwards and forwards in the record. The Questions in the Tool are each numbered, in the format 1.1.1 onwards, in these categories:

	Purpose One: Reduce LoR	Purpose Two: Implement Sentence	Purpose Three: Manage RoH
Assessment/Review	1.1.n	1.2.n	1.3.n
Interventions	2.1.n	2.2.n	2.3.n
Outcomes	3.1.n	3.2.n	3.3.n

Although the format is clearly 'tick-box' (which is clearly quickest for data entry purposes) it would be entirely wrong to see it as about "checkboxing the following of procedures". Instead each tick requires the case reader to *make an honest judgement of action*, which once entered is recorded as a numeric code shown in the 'end box' – an electronic version of this Tool would transfer the answer-codes straight into a database.

The database (even a simple spreadsheet could do it) could aggregate the findings in a number of different ways. In my view only the Outcomes section findings would be used for organisational performance measurement, and the first two sections would be mainly for reviewing, learning and developing practice at an individual practitioner or team level. When providing information for organisational performance purposes, the numeric codes for some of the larger multi-choice questions can readily be collapsed into one of the three main categories: Sufficient (counts **towards** achievement), Insufficient (counts **against** achievement), or Not Applicable (doesn't count)

The key organisational benefit is that the aggregated Outcomes data can be readily used to demonstrate performance of any selected cohort of cases in percentage terms against each of the Three Purposes; and if it is introduced well the sheer regular use of the Tool will promote a culture of continuous self-directed progress towards achieving the Three Purposes with each case – thereby achieving the organisation's Strategic Aims.

Version 1.0 of the Tool now follows – NB in landscape format.

Sections 1 & 2 – on Assessments, Reviews and Interventions – are just the ‘stepping stones’ that indicate whether the case is on course to achieve the desired Outcomes in Section 3. The Tool enables the case reader to track, in an approximately chronological sequence, progress towards achieving Outcomes in the three separate-but-overlapping Purposes of Probation.

Purpose One is the primary Purpose – how performance of the organisation is chiefly measured – but failures in Purposes Two and Three risk not only Probation’s credibility but also potential serious harm to one or more members of the public.

Question No:	Section, Purpose, Question and Guidance	?	✓	-
SECTION 1: Assessment & Review:				
PURPOSE ONE: Reduce the Likelihood of Reoffending				
1.1.1	Was there, at start of supervision, a Sufficient analysis of this individual’s Likelihood of Reoffending (LoR)? <i>Guidance: Ask yourself, if you had had to take over, or cover for, or reallocate, this case at the point when it was four weeks since sentence, would the file have told you to your satisfaction why this person committed this particular offence, and the likelihood of him/her doing something similar again?</i> Would you have had an analysis and/or explanation, not just a description, of this person’s offending behaviour?	No		1
		Yes		2
1.1.2	Did the sentence plan (or any record serving this purpose), at start of supervision, contain constructive interventions that included outcome-focused objectives (aimed at reducing this individual’s LoR)? <i>Guidance: Whether or not you were given an analysis of why this person offended, does the file by the four-week point record a plan with the aim of reducing this person’s offending behaviour, a plan of constructive interventions which specifically includes outcome-focused objectives? e.g. not just action to “address this person’s offending behaviour”, but what the action is and what it will specifically enable the person to achieve, for the purpose of enabling him/her to become less likely to reoffend.</i>	No		1
		Yes		2
		No Sentence Plan		9
1.1.3	Since the initial sentence plan (above), where there was a significant change, was the plan reviewed? <i>Guidance: If there has not been a significant change, or new development, since the initial sentence plan, mark this N/A. But if such a change has occurred, does the record show to your satisfaction, that the initial plan was at least reviewed, and if necessary, amended? NB This question is about the planned constructive interventions this case needs; issues of changes in RoH are covered elsewhere.</i>	No Change – N/A		0
		No		1
		Yes		2
1.1.4	Was there an assessment of potential diversity issues, discriminatory/disadvantaging factors, and any other relevant individual needs? <i>Guidance: If the record is completely silent on these points, or if they are not covered to your satisfaction, the answer is No; but answer Yes if the coverage of these points is in your judgement Sufficient in this case.</i>	No		1
		Yes		2

PURPOSE TWO: Implement the Sentence (or Licence)								
1.2.1	<p>Were the reporting instructions given (appointments arranged) at the start of supervision, both with the officer and with any other required third party, sufficient for the purpose of implementing the formal requirements of the Court sentence or Licence? [This is about action by the officer, not about response by the offender]</p> <p><i>Guidance: Since there is no longer a National Standard that prescribes frequency of appointments to be arranged, unless there is a locally prescribed Standard, you must judge whether in your opinion the frequency of appointments arranged in this case so far still reasonably ‘counts’ as the officer genuinely attempting to Implement the Sentence. For example, if the officer simply stopped arranging appointments, or did nothing about one or more of the other formal requirements, then it would be hard to claim that the officer was Implementing the sentence/Licence.</i></p>	<table border="1"> <tr> <td>No</td> <td></td> <td>1</td> </tr> <tr> <td>Yes</td> <td></td> <td>2</td> </tr> </table>	No		1	Yes		2
No		1						
Yes		2						
PURPOSE THREE: Manage Risk of Harm to others								
1.3.1	<p>Was the original ‘Risk’ classification the correct one?</p> <p><i>Guidance: This is simply about whether the ‘label’ of either Low or Medium ‘Risk’ (hopefully not higher!) was clear when the case came through to the CRC, and in your judgement was it the correct choice of either Low or Medium? You can provide your reason for scoring ‘No’ with your response to the Supplementary question below: choose ONE:</i></p>	<table border="1"> <tr> <td>No</td> <td></td> <td>1</td> </tr> <tr> <td>Yes</td> <td></td> <td>2</td> </tr> </table>	No		1	Yes		2
No		1						
Yes		2						
1.3.1a	> If No to 1.3.1: Was the ‘Risk’ classification simply missing (or unclear)?	<table border="1"> <tr> <td>Yes</td> <td></td> <td>5</td> </tr> </table>	Yes		5			
Yes		5						
	> If No to 1.3.1: Should the ‘Risk’ classification have been a lower one, in your judgement?	<table border="1"> <tr> <td>Yes</td> <td></td> <td>6</td> </tr> </table>	Yes		6			
Yes		6						
	> If No to 1.3.1: Should the ‘Risk’ classification have been raised to Medium, in your judgement?	<table border="1"> <tr> <td>Yes</td> <td></td> <td>7</td> </tr> </table>	Yes		7			
Yes		7						
	> If No to 1.3.1: Should the ‘Risk’ classification have been raised to High or Very High, in your judgement?	<table border="1"> <tr> <td>Yes</td> <td></td> <td>8</td> </tr> </table>	Yes		8			
Yes		8						
1.3.2	<p>Was there, at start of supervision, a Sufficient analysis of this individual’s Risk of Harm to others (RoH)? (Even a very Low RoH case should explicitly show, however briefly, that RoH issues have been considered.)</p> <p><i>Guidance: Ask yourself, if you had had to take over, or cover for, or reallocate, this case at the point when it was four weeks since sentence, would the file have told you to your satisfaction in what way(s) this individual might cause physical harm, or the realistic fear of it, to someone else, based on evidence available at the time? Would you have had a Sufficient analysis of what this individual might do, and in what circumstances, to whom? You might want to consider the Supplementary questions below first, to help you decide on this Main question.</i></p>	<table border="1"> <tr> <td>No</td> <td></td> <td>1</td> </tr> <tr> <td>Yes</td> <td></td> <td>2</td> </tr> </table>	No		1	Yes		2
No		1						
Yes		2						
1.3.2a	<p>Did the analysis take into account all available sources of information?</p> <p><i>- the answer is No, if you conclude: “Oh – they should have checked with _____!” [other source of potential info]</i></p>	<table border="1"> <tr> <td>No</td> <td></td> <td>1</td> </tr> <tr> <td>Yes</td> <td></td> <td>2</td> </tr> </table>	No		1	Yes		2
No		1						
Yes		2						
1.3.2b	<p>Did the analysis clearly take into account the individual’s previous relevant behaviour?</p> <p><i>- this is not just about previous convictions; any known previous ‘risky’ behaviour is relevant to consider.</i></p>	<table border="1"> <tr> <td>No</td> <td></td> <td>1</td> </tr> <tr> <td>Yes</td> <td></td> <td>2</td> </tr> </table>	No		1	Yes		2
No		1						
Yes		2						

1.3.2c	Did the analysis clearly take into account the individual’s potential danger – where there is one - to any specific individual(s), such as any children, previous/current/future partner, Police or other staff, or other identified person? - if you are satisfied that this individual is not a potential danger to any identifiable ‘other individual or group’, then you can put N/A. Where there is such a potential danger, does the analysis Sufficiently describe the nature of it?	N/A		0
		No		1
		Yes		2
1.3.3	If applicable, did the risk management plan (or any record serving this purpose), at start of supervision, set out the restrictive interventions that would keep to a minimum this individual’s RoH, including to identifiable potential victims?	N/A		0
		No		1
		Yes		2
1.3.4	If applicable, did the risk management plan (or any record serving this purpose), at start of supervision, include plans to manage any Child Protection or Safeguarding issues that might be relevant in this case?	N/A		0
		No		1
		Yes		2
SECTION 2: Interventions				
PURPOSE ONE: Reduce the Likelihood of Reoffending				
2.1.1	Were the constructive interventions, aimed at reducing this individual’s LoR, delivered in line with the sentence plan?	N/A		0
		No		1
		Yes		2
2.1.2	Did the constructive interventions encourage and challenge the individual to take responsibility for their actions and decisions related to offending in the community?	N/A		0
		No		1
		Yes		2
PURPOSE TWO: Implement the Sentence (or Licence)				
2.2.1	Throughout the period being examined, were the reporting instructions given (appointments arranged), both with the officer and with any other required third party, sufficient for the purpose of implementing the formal requirements of the Court sentence or Licence? [This question is still about action by the officer, and not yet about response by the offender – but take note of the unfolding response by the offender, and response in turn by the officer, for Section 3] <i>Guidance: Since there is no longer a National Standard that prescribes frequency of appointments to be arranged, unless there is a locally prescribed Standard, you must judge whether in your opinion the frequency of appointments arranged in this case so far still reasonably ‘counts’ as the officer genuinely attempting to Implement the Sentence. For example, if the officer simply stopped arranging appointments, or did nothing about one or more of the other formal requirements, then it would be hard to claim that the officer was Implementing the sentence/Licence. But an explicit recorded reason to schedule one of the formal requirements of the sentence, e.g. an Accredited Programme, for a later date would be acceptable.</i>	No		1
		Yes		2

PURPOSE THREE: Manage <i>Risk of Harm to others</i>											
2.3.1	Were the restrictive interventions, aimed at managing this individual's <i>RoH</i> , delivered in line with what was planned?	<table border="1"> <tr> <td>N/A</td> <td></td> <td>0</td> </tr> <tr> <td>No</td> <td></td> <td>1</td> </tr> <tr> <td>Yes</td> <td></td> <td>2</td> </tr> </table>	N/A		0	No		1	Yes		2
N/A		0									
No		1									
Yes		2									
2.3.2	Did the delivery of the constructive interventions take account of any <i>RoH</i> posed by the individual under supervision?	<table border="1"> <tr> <td>N/A</td> <td></td> <td>0</td> </tr> <tr> <td>No</td> <td></td> <td>1</td> </tr> <tr> <td>Yes</td> <td></td> <td>2</td> </tr> </table>	N/A		0	No		1	Yes		2
N/A		0									
No		1									
Yes		2									
2.3.4	Was this a case that required checking with the Police Domestic Violence Unit and/or Children's Services, and was this done Sufficiently?	<table border="1"> <tr> <td>N/A</td> <td></td> <td>0</td> </tr> <tr> <td>No</td> <td></td> <td>1</td> </tr> <tr> <td>Yes</td> <td></td> <td>2</td> </tr> </table>	N/A		0	No		1	Yes		2
N/A		0									
No		1									
Yes		2									
2.3.5	Is there evidence that any concerns expressed by the victim and/or the likely impact of the offender's behaviour on the victim were sufficiently taken into account?	<table border="1"> <tr> <td>N/A</td> <td></td> <td>0</td> </tr> <tr> <td>No</td> <td></td> <td>1</td> </tr> <tr> <td>Yes</td> <td></td> <td>2</td> </tr> </table>	N/A		0	No		1	Yes		2
N/A		0									
No		1									
Yes		2									
2.3.6	Was Sufficient attention given to the safety of identifiable previous, current or potential victims?	<table border="1"> <tr> <td>N/A</td> <td></td> <td>0</td> </tr> <tr> <td>No</td> <td></td> <td>1</td> </tr> <tr> <td>Yes</td> <td></td> <td>2</td> </tr> </table>	N/A		0	No		1	Yes		2
N/A		0									
No		1									
Yes		2									
2.3.7	Was there Sufficient management involvement in any victim safety considerations?	<table border="1"> <tr> <td>N/A</td> <td></td> <td>0</td> </tr> <tr> <td>No</td> <td></td> <td>1</td> </tr> <tr> <td>Yes</td> <td></td> <td>2</td> </tr> </table>	N/A		0	No		1	Yes		2
N/A		0									
No		1									
Yes		2									

2.3.8	Was sufficient attention given to the protection of children in relation to the offender's contact with any child?	N/A	0
		No	1
		Yes	2
2.3.9	Was there Sufficient management involvement in child safeguarding issues?*	N/A	0
		No	1
		Yes	2
2.3.10(i)	Since the initial risk management (or equivalent) plan, is there evidence of a change of circumstance, or new development or new information, which might potentially require a reappraisal of this individual's RoH?	N/A	0
		No	1
		Yes	2
2.3.10(ii)	If YES to the previous question, did the officer take Sufficient action(s) in response? (To manage the offender's RoH)	N/A	0
		No	1
		Yes	2
2.3.11	Were enforcement proceedings or recall used appropriately, if required specifically in response to an increased RoH?	N/A	0
		No	1
		Yes	2
2.3.12	Overall, were any other restrictive requirements, such as EM, SOPOs or restraining orders, used appropriately?	N/A	0
		No	1
		Yes	2

SECTION 3: Outcomes			
PURPOSE ONE: Reduce the Likelihood of Reoffending			
3.1.1	Place this case into the HIGHEST (one only) of the following descriptions of the individual's reoffending record, the highest listed that correctly describes any offending-related occurrence dated <u>after</u> date of sentence or release:		
	1. Convicted for an offence committed since the start of the sentence in the community, or of release on licence.	1 9	
	2. Cautioned for an offence committed since the start of the sentence in the community, or of release on licence.	2 8	
	3. Received any other type of disposal for their offending-related behaviour since the sentence/licence start , such as Sexual Offences Prevention Order (SOPO), Restraining Order or Penalty Notice	3 7	
	4. Charged with an offence committed since the start of the sentence or release on licence.	4 6	
	5. None of the above – i.e. no relevant offence-related behaviour recorded since start of sentence or licence.	5 2	
Overall Question: Has Likelihood of Reoffending (LoR) been measurably reduced? Qs 3.1.2 to 3.1.7 apply. One, or the other, or both, of the two Methods below can be applied, if Method A is available locally.			
3.1.2	<u>Method A:</u> On a scale that provides a quantitative measure of LoR using dynamic factors:		
	At start of sentence or Licence this case scored: <input type="text"/>	Comparing the new score with the original score, is it:	
	At time of the case reading this case scored: <input type="text"/>		
	<i>*Specific advice as to what reduction counts as Marginal or Significant will depend on the nature of the scale employed.</i>		Higher? 9
			The same 1
		Marginally* lower 3	
		Significantly* lower 2	
<u>Guidance:</u> [as per the scale employed]			

3.1.3	Method B: Achievement by the individual, since start of supervision, of outcomes that make this person less likely to reoffend in future.				
	Factors that you as case reader consider were ones that make this specific individual more likely to reoffend: Use the grid below as a worksheet to enable the required summary questions at the end to be answered.				
	At <u>Start</u> of current supervision:		During supervisn:	At the time of reading this case:	
	Potential 'criminogenic' factor, as per OASys, that can make <u>some</u> people more likely to reoffend	Was it a factor that made this person more likely to reoffend?	If YES, was work on this factor attempted with this person?	If YES, has the person achieved a <u>measurable outcome</u> re this factor? (planned <u>or</u> unplanned)	If not an outcome, is there evidence re this factor of some <u>interim progress</u> ?
	Accommodation	NO / YES	NO / YES	NO / YES	NO / YES
	Employment/employability	NO / YES	NO / YES	NO / YES	NO / YES
	Financial management	NO / YES	NO / YES	NO / YES	NO / YES
	Relationships	NO / YES	NO / YES	NO / YES	NO / YES
	Lifestyle & associates	NO / YES	NO / YES	NO / YES	NO / YES
	Drug misuse	NO / YES	NO / YES	NO / YES	NO / YES
	Alcohol misuse	NO / YES	NO / YES	NO / YES	NO / YES
	Emotional well-being	NO / YES	NO / YES	NO / YES	NO / YES
	Thinking & behaviour	NO / YES	NO / YES	NO / YES	NO / YES
	Attitudes	NO / YES	NO / YES	NO / YES	NO / YES
TOTAL number of YESs:					
<p><u>ADD</u> the YESs in each of the two right-hand columns, checking that <u>no</u> factor has a YES in <u>both</u> columns; for this purpose there is <u>either</u> an <u>outcome</u> <u>or</u> <u>interim progress</u>, with an <u>outcome</u> being the 'higher' choice. Then see below.</p> <p><i>Guidance: More specific guidance as to what 'counts' as either a measurable outcome or interim progress will be provided elsewhere, though inevitably it will finally come down to the case reader's honest judgement.</i></p>					
Tick the <u>highest</u> of these three options that applies in this case, from the first of the two TOTALs above:			Two or more measurable outcomes achieved:		2
			One measurable outcome achieved:		3
			No measurable outcomes achieved:		1

3.1.4	Tick the <u>highest</u> of these three options that applies in this case, from the second of the two TOTALs above:	Two or more instances of interim progress:		2
		One instance of interim progress:		3
		No instances of interim progress:		1
3.1.5	From the above, ONE of these two summary points must be correct	NO outcome NOR interim progress yet achieved in this case: TRUE		1
		Either an outcome or some progress HAS been achieved already: TRUE		2
3.1.6	In your opinion, even if 2+ outcomes have not yet been achieved, has sufficient overall progress been made at this stage in relation to the factors that you identified as making this individual more likely to reoffend?	Not applicable (for Unpaid Work only)		0
		Evidence of deterioration in relation to significant factors related to offending		9
		Insufficient progress on the most significant factors		1
		Progress on some of the significant factors, but not all		3
		Good progress on the most significant factors		2
3.1.7	Overall, has there been a measurable reduction in this individual's Likelihood of Reoffending (LoR), and/or has there been achievement of positive outcomes that thereby reduce LoR? <i>Guidance: Two ways to form your judgement in answering this key Question: Method A, if available locally, would provide two scores to compare, while Method B will enable you to make a judgement about how far the person's progress on positive outcomes has reduced their LoR.</i>	NO reduction		1
		SLIGHT reduction		3
		STRONG reduction		2

Note: Some of the 3.1 Questions are alternatives to each other, and so some could be discarded, as accumulated experience may suggest in due course.

PURPOSE TWO: Implement the Sentence (or Licence)				
3.2.1	Place this case into ONE (only) of the following four categories:			
	1. Not Properly Implemented: officer did not implement the requirements of the Sentence/Licence Sufficiently (i.e. where you have already answered No to either 1.2.1 or 2.2.1 or both)	1		9
	2. Offender Complied: offender complied with the requirements without the need for breach/recall to be taken - though <u>other</u> action by the officer to promote compliance <u>may</u> have been taken	2		2
	3. Properly Enforced: breach/recall action was taken when it became necessary that it should be taken	3		3
	4. Not Properly Enforced: breach/recall action was not taken when it became necessary that it should be taken	4		1
<p><u>Guidance</u> – recommended four-step decision-making process:</p> <p>i) You will already know from your answers to 1.2.1 and 2.2.1 if this case comes into Category 1</p> <p>ii) Decide whether you consider that this is a case where breach or recall action <u>should</u> have been taken. If this case were being managed under the old National Standard, or under a new local Standard – that set out rules for when such action should be taken, this decision is easier to make. If not, you have to decide whether <u>you</u> consider that this offender’s <u>failure to comply with requirements</u> got to the point where breach action <u>should</u> have been taken. NB NOT for ‘raised RoH’, which is covered in a Purpose Three question.</p> <p>iii) If breach or recall action <u>should</u> have been taken, then place this case in Category 3 if the action WAS taken, and into Category 4 if it wasn’t. NB These two steps only concern breach or recall; all other action to promote compliance, including both positive encouragement and/or negative Warnings are not relevant.</p> <p>iv) If breach/recall did not need to have been taken, logically the offender complied – even though in some cases this may have involved much ‘other action to promote compliance’, including Warning letters in some instances – so it becomes a Category 2 case. If you find yourself feeling discontented with this conclusion, review each step again – each case should logically fit one of these four Categories.</p>				

PURPOSE THREE: Manage <i>Risk of Harm to others</i>				
3.3.1	Where there is an identifiable victim, or an identifiable potential victim, is there evidence that the Risk of Harm to them has been effectively managed? <i>Guidance: This is N/A if there is no identifiable victim or potential victim, but remember that the classic (though not the only) example of a 'potential victim' is the new girlfriend of a man with a history of domestic violence. So where such a current or potential victim may exist, has sufficient attention been given to keeping the Risk of Harm to that specific person to a minimum? Test question: If the offender seriously harmed the identified potential victim, what ground for complaint could the victim reasonably voice? e.g "Somebody should have warned me that..."</i>	N/A		0
		No		1
		Yes		2
3.3.2	Where necessary, was the safety of children promoted sufficiently? <i>Guidance: This is of course N/A if you are sure that the safety of children is not a relevant consideration in this case. Alternatively, this is an extremely important consideration where the individual is assessed as being of potential RoH to any child, either by deliberate or by negligent action, and most especially where any child is known to Children's Services and on the Child Protection register. But it can also be an important consideration where the individual, though not known to be a risk to children in person, is in the same household as a vulnerable child.</i>	N/A		0
		No		1
		Yes		2
3.3.3	Overall, has all reasonable action been taken to keep to a minimum this individual's <i>Risk of Harm to others (RoH)</i> ? <i>Guidance: N/A is only where you and the officer agree that RoH is not a consideration at all in this case. Otherwise you must go about deciding what the RoH issues were that you and/or the officer considered needed managing in the case, and then decide whether <u>you</u> think that 'all reasonable action was taken to manage' those issues. Ponder:</i> <ul style="list-style-type: none"> • <i>The relevant RoH issues were correctly identified at the start, and also if and when they changed?</i> • <i>Safety of identifiable persons, as in 3.3.1, and children as in 3.3.2, has been properly prioritised?</i> • <i>Frequency of contact, including any home visits, was sufficient for monitoring purposes in a case of this nature?</i> • <i>Compliance with restrictive requirements was monitored properly, and action taken if needed?</i> • <i>There was <u>active</u> liaison with other relevant authorities such as Police and Children's Services?</i> • <i>Management oversight has been sufficient for this case?</i> • <i>Liaison with, and exchanging relevant information with, Police and Children's Services has been sufficient?</i> • <i>Where an Approved Premises (hostel) was used, the case was well managed there?</i> • <i>If this individual were accused of a Serious Further Offence (SFO) tomorrow, what aspect(s) of the managing of this case would probably attract the greatest criticism in a case review, if any?</i> 	N/A		0
		No		1
		Yes		2

Advice about training, usage, measurement, and as an aid to improving practice – all available separately

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